

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d)			Attny. Docket No. 2000U004D1.US
In Re Application of: David E. Gindelberger et al.			
U.S. Serial No. Unassigned	Filing Date October 16, 2003	Examiner Unassigned	Group Art Unit Unassigned

Address to:
**Mail Stop Patent Applications
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

37 CFR § 1.97(b)

- ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

37 CFR § 1.97(c)

- ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

- ☐ the fee as set forth in § 1.17(p), or
- ☐ the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

37 CFR § 1.97(d)

- ☐ The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

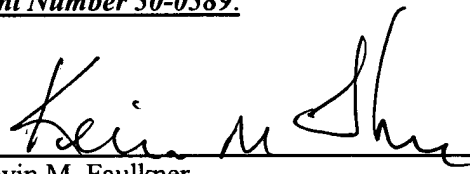
☒ Legible copies of the references are enclosed.

☒ This application is a:
☒ Continuation / Divisional,
☐ Continuation-in-Part,

of U.S.S.N. 09/617,663 filed July 17, 2000. Copies of the cited references are
☒ enclosed; ☐ not enclosed. References are available in the parent application(s) if not enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to **Deposit Account Number 50-0589.**

October 17, 2003
Date



Kevin M. Faulkner
Registration No. 45,427
Univation Technologies, L.L.C.
5555 San Felipe, Suite 1950
Houston, Texas 77056-2723
(713) 892-3729 Voice
(713) 892-3687 Facsimile

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
10/16/2003		Unassigned					
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,965,078	6/22/1976	Priola et al.	526	154	
	AB	4,057,565	11/08/1977	Manzer	260	429	
	AC	4,568,660	2/04/1986	Klosiewicz	502	169	
	AD	4,981,931	1/01/1991	Bell	502	102	
	AE	5,019,544	5/28/1991	Bell	502	102	
	AF	5,030,606	7/09/1991	Klabunde	502	155	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
✓	AG	0241560 A1	10/21/1987	European Patent Office			
/	AH	0277004 A1	08/03/1988	European Patent Office			
✓	AI	0427696 A2,A3	05/15/1991	European Patent Office			
.	AJ	0520732 A1	12/30/1992	European Patent Office			
/	AK	0557107 A2	08/25/1993	European Patent Office			
/	AL	0671416 A1	09/13/1995	European Patent Office			
/	AM	0694548 A1	01/31/1996	European Patent Office			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
	AN	US 2001/0002385 A1, U.S. Pre-Grant publication to Oda et al. 5/2001, US class 502/152					
	AO	US 2002/0082368 A1, U.S. Pre-Grant publication to Zahalka, 6/2002, US class 502/155					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
10/16/2003		Unassigned					
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA	5,082,909	1/21/1992	Bell	502	117	
	BB	5,177,233	1/05/1993	Schmidhammer et al.	502	103	
	BC	5,194,534	3/16/1993	Bell	502	117	
	BD	5,198,401	3/30/1993	Turner et al.	502	155	
	BE	5,288,677	2/22/1994	Chung et al.	502	152	
	BF	5,296,433	3/22/1994	Siedle et al.	502	117	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
/	BG	0719797 A2, A3	07/03/1996	European Patent Office			
/	BH	0761694 A1	03/12/1997	European Patent Office			
/	BI	0771822 A1	05/07/1997	European Patent Office			
/	BJ	0803520 A1	10/29/1997	European Patent Office			
/	BK	0612768 B1	11/12/1997	European Patent Office			
/	BL	0612769 B1	11/12/1997	European Patent Office			
/	BM	0500944 B1	10/07/1998	European Patent Office			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
	BN	US 2002/0107137 A1, U.S. Pre-Grant publication to Peterson et al., 8/2002, US class 502/103					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line though citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
		10/16/2003		Unassigned			
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	CA	5,319,042	6/07/1994	Bell	502	117	
	CB	5,369,196	11/29/1994	Matsumoto et al.	526	127	
	CC	5,427,991	6/27/1995	Turner	502	103	
	CD	5,444,134	8/22/1995	Matsumoto	526	159	
	CE	5,637,660	6/10/1997	Nagy et al.	526	160	
	CF	5,643,847	7/01/1997	Walzer, Jr.	502	117	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
/	CG	0842955 A2	5/20/1998	European Patent Office			
/	CH	0874005 A1	10/28/1998	European Patent Office			
/	CI	0573403 B1	11/04/1998	European Patent Office			
/	CJ	0582268 B1	11/18/1998	European Patent Office			
/	CK	2,212,668	2/13/1998	Canada			
/	CL	WO 91/14713	10/03/1991	Patent Cooperation Treaty			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
/	CM	Herrmann et al., <i>J. Organometallic Chem.</i> , Vol. 511, No. 5, 1996, pp. 299-302					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
		10/16/2003		Unassigned			
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	DA	5,663,249	9/02/1997	Ewen et al.	526	134	
	DB	5,721,183	2/24/1998	Neithamer	502	103	
	DC	5,721,185	2/24/1998	LaPointe et al.	502	117	
	DD	5,756,609	5/26/1998	Cohen	526	127	
	DE	5,763,547	6/09/1998	Kolthammer et al.	526	129	
	DF	5,807,939	9/15/1998	Elder et al.	526	160	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	✓ DG	WO 92/01723	2/06/1992	Patent Cooperation Treaty			<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO US6121394
	✓ DH	WO 93/14132	7/22/1993	Patent Cooperation Treaty			<input type="checkbox"/> YES <input type="checkbox"/> NO
	✓ DI	WO 93/19104	9/30/1993	Patent Cooperation Treaty			<input type="checkbox"/> YES <input type="checkbox"/> NO
	✓ DJ	WO 93/03838	3/04/1993	Patent Cooperation Treaty			<input type="checkbox"/> YES <input type="checkbox"/> NO
	✓ DK	WO 95/04761	02/16/1995	Patent Cooperation Treaty			<input type="checkbox"/> YES <input type="checkbox"/> NO
	✓ DL	WO 95/15815	06/15/1995	Patent Cooperation Treaty			<input type="checkbox"/> YES <input type="checkbox"/> NO
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
	DM	Repo et al., <i>Macromolecules</i> , Vol. 30, No. 2, 1997, pp. 171-175					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
				10/16/2003		Unassigned	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	EA	5,834,393	11/10/1998	Jacobsen et al.	502	152	
	EB	5,840,646	11/24/1998	Katayama et al.	502	152	
	EC	5,852,146	12/22/1998	Reichle et al.	526	172	
	ED	5,856,258	1/05/1999	Marks et al.	502	103	
	EE	6,066,704	5/23/2000	Katayama et al.	502	103	
	EF	6,071,845	6/06/2000	Tsujimoto et al.	502	103	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION <div style="display: flex; justify-content: space-between; font-size: small;"> <div>YES</div> <div>NO</div> </div>
✓	EG	WO 96/04319	2/15/1996	Patent Cooperation Treaty			
✓	EH	WO 96/08498	3/21/1996	Patent Cooperation Treaty			
✓	EI	WO 96/08519	3/21/1996	Patent Cooperation Treaty			
✓	EJ	WO 96/23004	8/01/1996	Patent Cooperation Treaty			
✓	EK	WO 96/23005	8/01/1996	Patent Cooperation Treaty			
✓	EL	WO 96/26967	9/06/1996	Patent Cooperation Treaty			
✓	EM	WO 96/34021	10/31/1996	Patent Cooperation Treaty			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
	EN	Cozzi et al., <i>Organometallics</i> , Vol. 14, No. 11, 1995, pp. 4994-4996					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
		10/16/2003		Unassigned			
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	FA	6,090,961	7/18/2000	Hanaoka et al.	502	103	
	FB	6,187,889	2/13/2001	Oi et al.	502	152	
	FC	6,242,622	6/5/2001	Oda et al.	502	153	
	FD	6,309,997	10/30/2001	Fujita et al.	502	103	
	FE	6,333,389	12/25/2001	Whiteker et al.	502	117	
	FF	6,399,531	6/04/2002	Job et al.	502	104	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
✓	FG	WO 97/02298	1/23/1997	Patent Cooperation Treaty			
✓	FH	WO 97/07141	2/27/1997	Patent Cooperation Treaty			X 2002/0143125
✓	FI	WO 97/49713	12/31/1997	Patent Cooperation Treaty			
✓	FJ	WO 98/03558	1/29/1998	Patent Cooperation Treaty			
✓	FK	WO 98/07515	02/26/1998	Patent Cooperation Treaty			
✓	FL	WO 98/16311	04/23/1998	Patent Cooperation Treaty			
✓	FM	WO 98/42664	10/01/1998	Patent Cooperation Treaty			
✓	FN	WO 00/04058	01/27/2000	Patent Cooperation Treaty			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
✓	FO	Wang et al., <i>Organometallics</i> , Vol. 17, No. 15, 1998, pp. 3149-3151					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line though citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
		10/16/2003				Unassigned	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	GA	6,399,724	6/04/2002	Matsui et al.	502	117	
	GB	6,423,807	7/23/2002	Oi et al.	502	155	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
✓	GC	JP 04-142306	05/15/1992	Japan			
✓	GD	09286813-A	11/04/1997	Japanese Abstract			
✓	GE	411100394 A	04/13/1999	Japan			
✓	GF	2000313712A	11/14/2000	Japan			
✓	GG	2000063415A	02/29/2000	Japan			
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
✓	GH	Hair et al., <i>J. Am. Chem. Soc.</i> , Vol. 121, pp. 4922-4923 (1999)					
✓	GI	F. Milani et al., <i>Inorganica Chimica Acta</i> , 103, pp. 15-18 (1985)					
✓	GJ	Bochmann et al., <i>Organometallics</i> , Vol. 17, pp. 5908-5912, (1998)					
✓	GK	Lee et al., <i>J. of Molecular Catalysis A: Chemical</i> , Vol. 132, pp. 231-239, (1998)					
✓	GL	Duchateau et al., <i>Organometallics</i> , Vol. 16, pp. 4995-5005, (1997)					
✓	GM	Bei et al., <i>Organometallics</i> , Vol. 16, pp. 3282-3302, (1997)					
✓	GN	Ewen, <i>Study Surf. Sci. Catal. (Catalyst Design for Tailor-Made Polyolefins)</i> , Vol. 89, pp. 405-410, (1994)					
✓	GO	Chien et al., <i>Jour. Poly. Sci., PTA: Poly. Chem.</i> , Vol. 29, pp. 1603-1607, (1991)					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2000U004D1.US		Unassigned	
				APPLICANT			
				David E. Gindelberger			
				FILING DATE		GROUP	
		10/16/2003		Unassigned			
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	HA						
	HB						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	HC						
	HD						
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
✓	HE	Song et al., <i>Journal of Organometallic Chemistry</i> , 545-546, pp. 597-600, (1997)					
✓	HF	Röttger et al., <i>Journal of Organometallic Chemistry</i> , 518, pp. 17-19, (1996)					
✓	HG	Belgardt et al., <i>Inorg. Chem.</i> , 1995, Vol. 34, pp. 3821-3822.					
✓	HH	Marks et al., <i>J. Am. Chem. Soc.</i> , Vol. 113, pp. 3623-3625, (1991)					
✓	HI	Baird et al., <i>J. Am. Chem. Soc.</i> , Vol. 116, pp. 6435-6436, (1994)					
✓	HJ	Bochmann et al., <i>J. Chem. Soc., Chem. Commun.</i> , pp. 2081-2082, (1995)					
	HK						
	HL						
	HM						
	HN						
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							